

Practitioner's Docket No. UNIVP104USA

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Dep't Ref 37  
Room 307  
#3/Reg for  
Refund  
05-23-02

☒ In re application of:

Application No.: 10 / 055,282  
Filed: January 22, 2002

Group No. 3737  
Examiner: Not Assigned

For: METHOD AND APPARATUS FOR POLARIZATION-SENSITIVE OPTICAL COHERENCE TOMOGRAPHY

☐ Patent No.: \_\_\_\_\_

Issued: \_\_\_\_\_

\*NOTE: Insert name(s) of inventor(s) and title also for patent. Where the refund request is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.

Assistant Commissioner for Patents

Washington, D.C. 20231

ATTENTION: Refund Section, Accounting Division, Office of Finance

REQUEST FOR REFUND

(37 C.F.R. § 1.28(a))

NOTE: 37 C.F.R. § 1.28(a): "(a) Refunds based on later establishment of small entity status. A refund pursuant to § 1.26, based on establishment of small entity status, of a portion of fees timely paid in full prior to establishing status as a small entity may only be obtained if an assertion under § 1.27(c) and a request for a refund of the excess amount are filed within three months of the date of the timely payment of the full fee. The three-month time period is not extendable under § 1.136. Status as a small entity is waived for any fee by the failure to establish the status prior to paying, at the time of paying, or within three months of the date of payment of, the full fee."

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*

(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10 \*

☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee"

Mailing Label No. \_\_\_\_\_ (mandatory)

TRANSMISSION

☐ facsimile transmitted to the Patent and Trademark Office, (703) \_\_\_\_\_

Marcia V. Hill  
Signature

Date: 4-11-02

Marcia V. Hill

(type or print name of person certifying)

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.



I. SUBMISSION OF SMALL ENTITY ASSERTION

(complete (a) or (b))

- (a) ☒ Attached is an assertion of small entity status in this application.  
(b) ☐ An assertion of small entity status was filed in this application on \_\_\_\_\_

II. REFUND REQUEST

NOTE: 37 C.F.R. § 1.28(b)(1): "(b) Date of payment. (1) The three-month period for requesting a refund, pursuant to paragraph (a) of this section, starts on the date that a full fee has been paid. . ."

This request for refund is made within three months of the date the full fee was paid in this application on January 22, 2002, in the amount of \$ 980.00.

NOTE: If the fee was changed to a deposit account, a request for refund must be filed within two months of the date of the change to the deposit account.

III. FEE PAID FOR WHICH REFUND REQUESTED

AMOUNT OF  
REFUND  
REQUESTED

- ☒ Filing fee (Previously sent \$980.00) \$ 490.00  
☐ Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 C.F.R. § 1.16(e) or 37 C.F.R. § 1.16(l)). \$ \_\_\_\_\_

or

- ☐ Surcharge for filing the oath or declaration on a date later than the filing date of the application (37 C.F.R. § 1.16(e)) \$ \_\_\_\_\_  
☐ Surcharge for filing the basic filing fee on a date later than the filing date of the provisional application (37 C.F.R. § 1.51(c)(1) and 37 C.F.R. § 1.16(l)) \$ \_\_\_\_\_

or

- ☐ Surcharge for filing the cover sheet on a date later than the filing date of the provisional application (37 C.F.R. § 1.51(c)(1) and 37 C.F.R. § 1.16(l)) \$ \_\_\_\_\_  
☐ Extension of term \$ \_\_\_\_\_  
☐ Issue fee \$ \_\_\_\_\_  
☐ Patent maintenance fee  
    ☐ first maintenance fee \$ \_\_\_\_\_  
    ☐ second maintenance fee \$ \_\_\_\_\_  
    ☐ third maintenance fee \$ \_\_\_\_\_  
☐ Patent maintenance fee surcharge.

NOTE: The refund provisions of § 1.28(a), for later submitted small entity statements, apply to maintenance fees. Notice of July 30, 1984, 1046 O.G. 28-37.

- ☐ Other \$ \_\_\_\_\_

TOTAL REFUND REQUESTED \$ 490.00

#### IV. MANNER OF REFUND


Please make refund by crediting:

☒ Deposit Account No. 18-0988

☐ Credit card as shown on the attached credit card information authorization form PTO-2038.

**WARNING:** Credit card information should *not* be included on this form as it may become public.

☐ refunding overpayment.

 4/11/02  
\_\_\_\_\_  
Signature of Practitioner

Reg. No.: 26,373

Warren A. Sklar

*(type or print name of practitioner)*

Tel. No.: (216) 621-1113

Renner, Otto, Boisselle & Sklar, LLP  
1621 Euclid Avenue, 19th Floor

P.O. Address

Customer No.:

Cleveland, Ohio 44115



Case No: UNIVP104USA

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Applicant: Roth et al.

Examiner: Not Assigned

Serial No.: 10/055,282

Art Unit: 3737

Filing Date: January 22, 2002

Title: METHOD AND APPARATUS FOR POLARIZATION-SENSITIVE  
OPTICAL COHERENCE TOMOGRAPHY

Assistant Commissioner for Patents

Attn: REFUND SECTION, ACCOUNTING DIVISION, OFFICE OF FINANCE

Washington, D.C. 20231

Sir:

The above application is entitled to small entity status.

Thus, a Request For Refund is enclosed. Please credit \$490 to our Deposit

Account No. 18-0988, Order No. UNIVP104USA.

If you have any questions, please contact the undersigned.

Respectfully submitted,  
RENNER, OTTO, BOISSELLE & SKLAR, LLP

DATE: 4-11-02

Warren A. Sklar  
Warren A. Sklar, Registration No. 26,373

The Keith Building  
1621 Euclid Avenue  
Nineteenth Floor  
Cleveland, Ohio 44115  
(216) 621-1113

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service in an envelope addressed to: Assistant Commissioner for Patents, ATTN: REFUND SECTION, ACCOUNTING DIVISION, OFFICE OF FINANCE, Washington, D.C. 20231.

Marcia V. Hill  
Marcia V. Hill

4/11/02  
Date